

TRANSMITTAL LETTER
(General - Patent Pending)

Docket No.
00-030

In Re ~~Walker & Thompson~~ et al.

Serial No.
Not Yet Assigned

Filing Date
May 15, 2001

Examiner
Not Yet Assigned

Group Art Unit
Not Yet Assigned

Title: **SYSTEM FOR PROVIDING OFFERS USING A BILLING STATEMENT**

TO THE ASSISTANT COMMISSIONER FOR PATENTS:

Transmitted herewith is:

Information Disclosure Statement (5 pp.);
PTO Form-1449 (6 pp.), and references cited therein (70); and
Return Receipt Postcard.

in the above identified application.

- ☒ No additional fee is required.
- ☐ A check in the amount of _____ is attached.
- ☒ The Assistant Commissioner is hereby authorized to charge and credit Deposit Account No. **50-271** as described below. A duplicate copy of this sheet is enclosed.
- ☐ Charge the amount of _____
- ☐ Credit any overpayment.
- ☒ Charge any additional fee required.

Signature

Dated: **May 30, 2001**

Dean P. Alderucci
Attorney for Applicants
PTO Registration No. 40,484
(203) 461-7337 Phone
(203) 461-7300 Fax

alderucci@walkerdigital.com

CC:

I certify that this document and fee is being deposited
on **May 30, 2001** with the U.S. Postal Service as
first class mail under 37 C.F.R. 1.8 and is addressed to the
Assistant Commissioner for Patents, Washington, D.C.
20231.

Signature of Person Mailing Correspondence

Veronika S. Leliever

Typed or Printed Name of Person Mailing Correspondence



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: WALKER et al.

) Examiner: Not Yet Assigned

Serial No.: Not Yet Assigned

) Group Art Unit: Not Yet Assigned

Filing Date: May 15, 2001

) Attorney Docket No: 00-030

) Customer No.: 22927

For: SYSTEM FOR PROVIDING OFFERS
USING A BILLING STATEMENT

**RECEIVED**

JUL 19 2002

GROUP 3600

Assistant Commissioner for Patents
Washington, D.C. 20231

INFORMATION DISCLOSURE STATEMENT

Sir:

Applicants submit herewith patents, publications or other information of which they are aware that they believe may be material to the examination of this application, and in respect of which, there may be a duty to disclose.

The filing of this information disclosure statement shall not be construed as a representation that a thorough search has been made, an admission that the information cited is, or is considered to be, material to patentability, or that no other material information exists. Nor shall the filing of this information disclosure statement be construed as an admission against interest in any manner.

This Information Disclosure Statement is filed in accordance with 37 C.F.R. §§1.56, 1.97 and 1.98. The items listed on the accompanying Form PTO-1449 may be deemed to be pertinent to the above-identified application and are made of record to assist the Patent and Trademark Office in its examination of this application. The Examiner is respectfully requested to fully consider the items listed on the enclosed copy of Form PTO-1449 and to independently ascertain their teaching.



1. ☐ Applicants respectfully direct the Examiner's attention to the pending U.S. patent applications listed on the enclosed Form PTO-1449. The Examiner is respectfully requested to fully consider and independently ascertain the teachings and relevance of those applications with respect to the instant application. Applicants would be pleased to provide the Examiner with a copy of these applications upon request.
2. ☐ For each of the items listed on the enclosed copy of Form PTO-1449 that is not in the English language, a European Search Report from a counterpart European application is enclosed. Such items are marked as reference letter(s): _____
3. ☐ For each of the items listed on the enclosed copy of Form PTO-1449 that is not in the English language, a concise explanation of the relevance of that item is incorporated in the specification of the above-identified application. Such items are marked as reference letter(s): _____
4. ☒ No fee is believed to be due under 37 C.F.R. §1.17(p) for this Information Disclosure Statement since it is being filed in compliance with:
- ☒ 37 C.F.R. §1.97(b)(1), within three months of the filing date of the above-identified application.
- ☐ 37 C.F.R. §1.97(b)(2), within three months of the date of entry into the national stage as set forth in §1.491.
- ☐ 37 C.F.R. §1.97(b)(3), before the mailing date of a first Office Action on the merits.
5. ☐ No fee is believed to be due under 37 C.F.R. §1.17(p) for this Information Disclosure Statement since it is being filed in compliance with 37 C.F.R. 1.97(c), after the period specified in paragraph 4 above but before the mailing date of a final action or a Notice of

Allowance (where there has been no prior final action), and is accompanied by one of the certifications pursuant to 37 C.F.R. §1.97(e) set forth in paragraph 9 below.

6. [] A fee is due under 37 C.F.R. §1.17(p) for this Information Disclosure Statement since it is being filed in compliance with 37 C.F.R. §1.97(c) after the period specified in paragraph 4 above but before the mailing date of a final action or a Notice of Allowance (where there has been no prior final action). The fee due under 37 C.F.R. §1.17(p) is to be paid as set forth in paragraph 10 below.

7. [] A fee is due under 37 C.F.R. §1.17(i)(1) for this Information Disclosure Statement since it is being filed in accordance with 37 C.F.R. §1.97(d), after the mailing date of a final action or a Notice of Allowance, but before the payment of the issue fee, and is accompanied by:

- a. one of the certifications pursuant to 37 C.F.R. §1.97(e) set forth in paragraph 9 below; and
- b. this document is to be considered as a petition requesting consideration of the information disclosure statement.
- c. the fee due under 37 C.F.R. §1.17(i)(1) which is paid as set forth in paragraph 10 below.

8. [] A fee is due under 37 C.F.R. §1.17(i)(1) for this Information Disclosure Statement since it is being filed in compliance with:

- [] 37 C.F.R. §1.313(b)(3), after the issue fee has been paid and information cited in this Information Disclosure Statement may render at least one claim unpatentable and is accompanied by the attached Petition to Withdraw Application from Issue;

☐ 37 C.F.R. §1.313(b)(5), after the issue fee has been paid and information cited in this Information Disclosure Statement is to be considered in a Continuation application upon abandonment of the instant application and is accompanied by the attached Petition to Withdraw Application from Issue.

☐ The fee due under 37 C.F.R. §1.17(i)(1) is paid as set forth in paragraph 10 below.

9. ☐ I hereby certify:

☐ that each item of information contained in the items listed on the enclosed copy of Form PTO-1449 was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. A copy of such communication is enclosed.

☐ that no item of information contained or listed on the enclosed copy of Form PTO-1449 was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the undersigned after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three months prior to the filing of this Information Disclosure Statement.

10. ☐ Please accept payment of the fees due as indicated below:

☐ A check in the amount of \$240.00 is enclosed in payment of the fee due under 37 C.F.R. 1.17(p).

☐ The Commissioner is hereby authorized to charge \$240.00 to Deposit Account No. 50-0271 in payment of the fee due under 37 C.F.R. §1.17(p). A duplicate copy of this sheet is attached for such purpose

☐ A check in the amount of \$130.00 is enclosed in payment of the fee due under 37 C.F.R. §1.17(i)(1).

☐ The Commissioner is authorized to charge \$130.00 to Deposit Account No. 50-0271 in payment of the fee due under 37 C.F.R. §1.17(i)(1). A duplicate copy of this sheet is attached.

11. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required for this Information Disclosure Statement, or credit any overpayment to Deposit Account No. 50-0271. A copy of this authorization is attached.

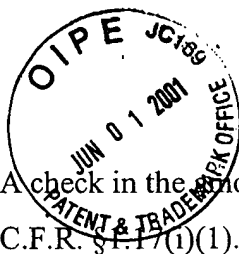
12. ☐ No fee is believed to be due under 37 C.F.R. §1.17(p) for this Information Disclosure Statement since it is being filed concurrently with a Request for Continued Examination.

Respectfully submitted,



Dean P. Alderucci
Attorney for Applicants
PTO Registration No. 40,484
Walker Digital Corporation
Five High Ridge Park
Stamford, CT 06905
(203) 461-7337/phone
(203) 461-7300/fax

May 30, 2001



[] A check in the amount of \$130.00 is enclosed in payment of the fee due under 37 C.F.R. §1.17(i)(1).

[] The Commissioner is authorized to charge \$130.00 to Deposit Account No. 50-0271 in payment of the fee due under 37 C.F.R. §1.17(i)(1). A duplicate copy of this sheet is attached.

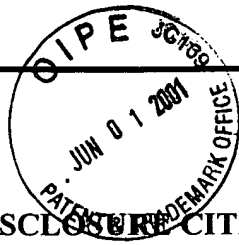
11. [X] The Commissioner is hereby authorized to charge any additional fees which may be required for this Information Disclosure Statement, or credit any overpayment to Deposit Account No. 50-0271. A copy of this authorization is attached.

12. [] No fee is believed to be due under 37 C.F.R. §1.17(p) for this Information Disclosure Statement since it is being filed concurrently with a Request for Continued Examination.

Respectfully submitted,

May 30, 2001

Dean P. Alderucci
Attorney for Applicants
PTO Registration No. 40,484
Walker Digital Corporation
Five High Ridge Park
Stamford, CT 06905
(203) 461-7337/phone
(203) 461-7300/fax



INFORMATION DISCLOSURE CITATION

Docket Number

00-030

Serial Number

Not Yet Assigned

Applicants

WALKER et al.

Filing Date

May 15, 2001

Group Art Unit

Not Yet Assigned

U.S. PATENT DOCUMENTS

EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB- CLASS	FILING DATE IF APPROPRIATE
	A	4,491,725	1/01/85	Pritchard	235	375	
	B	4,667,292	5/19/87	Mohlenbrock et al.	364	406	
	C	4,750,119	6/07/88	Cohen et al.	364	401	
	D	5,121,945	6/16/92	Thomson et al.	283	58	
	E	5,191,525	3/02/93	LeBrun et al.	364	419	
	F	Re. 34,380	9/14/93	Sleeve	379	67	
	G	5,297,026	3/22/94	Hoffman	364	408	
	H	5,326,959	7/05/94	Perazza	235	379	
	I	5,367,450	11/22/94	Pintsov	364	401	
	J	5,458,284	10/17/95	Haan et al.	229	304	
	K	5,513,102	4/30/96	Auriemma	364	408	
	L	5,515,270	5/07/96	Weinblatt	364	405	

FOREIGN PATENT DOCUMENTS

	REF	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB- CLASS	Translation	
							Yes	No

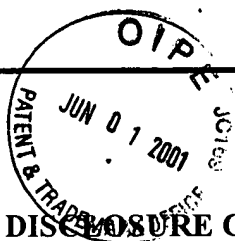
OTHER DOCUMENTS (Including author, Title, Date, Pertinent Pages, Etc.)

	M	Royall, Katcher P., "Getting products to consumers; The Basics of Retailing, part 2", Automotive Marketing, May 1990, Vol. 19, No. 5, Pg. 34, ISSN: 0193-3264.
	N	Shaw, Robert, "How the Smart Card is Changing Retailing", Long Range Planning, February 1991, Vol. 24, No. 1, pp. 111-114.

EXAMINER

DATE CONSIDERED:

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



INFORMATION DISCLOSURE CITATION

Docket Number

00-030

Serial Number

Not Yet Assigned

Applicants

WALKER et al.

Filing Date

May 15, 2001

Group Art Unit

Not Yet Assigned

U.S. PATENT DOCUMENTS

EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB- CLASS	FILING DATE IF APPROPRIAT E
	O	5,652,784	7/29/97	Blen et al.	379	67	
	P	5,659,481	8/19/97	Qutub et al.	364	478.08	
	Q	5,694,551	12/02/97	Doyle et al.	395	226	
	R	5,699,528	12/16/97	Hogan	395	240	
	S	5,710,884	1/20/98	Dedrick	395	200.47	
	T	5,721,827	2/24/98	Logan et al.	395	200.47	
	U	5,724,521	3/03/98	Dedrick	395	226	
	V	5,724,525	3/03/98	Beyers II et al.	395	240	
	W	5,734,838	3/31/98	Robinson et al.	395	214	
	X	5,752,238	5/12/98	Dedrick	705	14	
	Y	5,761,647	6/02/98	Boushy	705	10	
	Z	5,761,650	6/02/98	Munsil et al.	705	34	

FOREIGN PATENT DOCUMENTS

	REF	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB- CLASS	Translation	
							Yes	No

OTHER DOCUMENTS (Including author, Title, Date, Pertinent Pages, Etc.)

	AA	"Set-top 'Converger'; Interactive Initiatives Abound At NCTA Convention", Communications Daily, June 10, 1993, Vol. 13, No. 111 at Pg. 9.						

EXAMINER

DATE CONSIDERED:

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

**INFORMATION DISCLOSURE CITATION**

Docket Number

00-030

Serial Number

Not Yet Assigned

Applicants

WALKER et al.

Filing Date

May 15, 2001

Group Art Unit

Not Yet Assigned

U.S. PATENT DOCUMENTS

EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE IF APPROPRIATE
	BB	5,774,868	6/30/98	Cragun et al.	705	10	
	CC	5,794,220	8/11/98	Hunt	705	40	
	DD	5,812,769	9/22/98	Graber et al.	395	200.12	
	EE	5,839,119	11/17/98	Krsul et al.	705	39	
	FF	5,857,175	1/05/99	Day et al.	705	14	
	GG	5,864,822	1/26/99	Baker, III	705	14	
	HH	5,870,030	2/09/99	DeLuca et al.	340	825.44	
	II	5,873,068	2/16/99	Beaumont et al.	705	14	
	JJ	5,873,069	2/16/99	Reuhl et al.	705	20	
	KK	5,890,135	3/30/99	Powell	705	14	
	LL	6,006,207	12/21/99	Mumick et al.	705	38	
	MM	6,035,281	3/07/00	Crosskey et al.	705	14	
	NN	6,055,513	4/25/00	Katz et al.	705	26	

FOREIGN PATENT DOCUMENTS

	REF	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	Translation	
							Yes	No

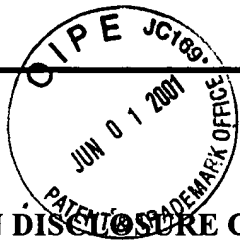
OTHER DOCUMENTS (Including author, Title, Date, Pertinent Pages, Etc.)

	OO	Mandese, Joe, "Interactive puts radio crossroads; Out-of-home role, tapping into digital tech could ensure future", Advertising Age, October 25, 1993, News Section at Pg. 12.
--	----	--

EXAMINER

DATE CONSIDERED:

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



INFORMATION DISCLOSURE CITATION

Docket Number

00-030

Serial Number

Not Yet Assigned

Applicants

WALKER et al.

Filing Date

May 15, 2001

Group Art Unit

Not Yet Assigned

PP

Patch, Kimberly, "Sled, InterNIC debut Internet services; Sled Corp offers electronic coupons for encryption software; InterNIC Information Services launches InfoGuide to Internet computer network; News Digest; Brief Article; Product Announcement", PC Week, May 16, 1994, Vol. 11, No. 19 at Pg. 130, ISSN: 0740-1604.

QQ

Ratcliffe, Mitch, "Lucie; interactive information, advertising stands upright, prepares to walk; Information Presentation Technologies Inc's Local Use Consumer Interactive Environment", Digital Media, June 8, 1994, No. 1, Vol. 4 at Pg. 14, ISSN: 1056-7038.

RR

Bowles, Bob et al., "ADSI: Maximizing the synergy between the network and terminals; analog display services interface", Telephony, August 29, 1994, Vol. 227, No. 9 at Pg. 20, ISSN: 0040-2656.

SS

Block, Valerie, "GM Turns Up the Heat With Plan to Cross-Sell Some Financial Products", The American Banker, November 18, 1994, Section: Credit/Debit/ATMS at Pg. 16.

TT

Wildstrom, Stephen H., "Pagers That Can Spell It All Out", Business Week, January 16, 1995, Section: Technology & You, No. 3407 at Pg. 16.

UU

Ratcliffe, Mitch, "All roads lead to Microsoft? Microsoft's 'Windows everywhere' strategy", Digital Media, March 6, 1995, No. 10, Vol. 4 at Pg. 3, ISSN: 10556-7038.

VV

Linnen, Herb et al., "AT&T comments on new FCC rules to curb 'slamming'", June 14, 1995.

WW

Schrage, Michael, "Free stuff! Predatory pricing or creative cross-promotion? You be the judge; The Beta Version; Industry Trend or Event; Column", Information Access Company, a Thomson Corporation Company, Marketing Computers, October 1995, Vol. 15, No. 9 at Pg. 24, ISSN: 0895-5697.

XX

Marshall, Kyle, "More phone choices ring in", The News and Observer (Raleigh, NC), August 13, 1996, Section: Business at Pg. D1.

YY

Nolle, Tom, "Overcoming cellular déjà vu", Information Access Company, a Thomson Corporation Company, Advanstar Communications Inc., America's Network, September 15, 1996 at Pg. 70.

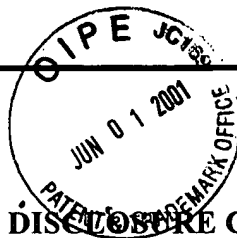
ZZ

Higgins, Stephen, "Digital phone service on the way", Business Dateline, New Haven Register, January 7, 1997 at Pg. D1.

EXAMINER

DATE CONSIDERED:

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



INFORMATION DISCLOSURE CITATION

Docket Number

00-030

Serial Number

Not Yet Assigned

Applicants

WALKER et al.

Filing Date

May 15, 2001

Group Art Unit

Not Yet Assigned

AAA

Warner, Bernhard, "Ads in the Ether on PCS Phones, Pagers; Will customers accept promo beeps?", Brandweek, March 31, 1997.

BBB

"Emagnet Plans to 'Push' Its Way Into Consumer Mindset, Pocketbook", Interactive PR and Marketing News, May 30, 1997, Vol. 4, No. 22.

CCC

Ross, Chuck et al., "Coke Card promotions set for '98; Summer effort to enlist array of retailers for merchandise discounts", Crain Communications, Inc., Copyright November 1997.

DDD

Wald, Mathew L., "Spending It; Untying Cellular Phones From Those Annual Contracts", The New York Times, March 15, 1998, Section 3, Pg. 10, Column 2, Money and Business/Financial Desk.

EEE

"Cross-Sell Billing Statement Acquisition System", April 7-9 1998.

FFF

Quittner, Joshua, "Cell Phones At 7-11?; Almost everyone is selling wireless service these days. Here's how to get the right deal", Time, July 6, 1998, Section: Personal Time/Your Technology at Pg. 95.

GGG

Stewart, Sinclair, "To mail or not to mail?", October 12, 1998, Section: Strategy Directresponse Special Report, Couponing at Pg. D21.

HHH

Griffin, Kate, "Issuers Charge Ahead to Focus on Price vs. Brand", Card Marketing, The Monthly News Magazine For The Card Marketing Professional, November 1998, Vol. 2, No. 10.

III

Dennis, Sylvia, "Visa Gets Ready For Interactive Set-Top Boxes", Newsbytes News Network, December 14, 1998.

JJJ

"Northwest Airlines, Sprint Enter Into Mileage Partnership; Consumers Can Earn Up to 16,500 Frequent Flyer Miles Through Wide Range Of Communications Services -- Long Distance, Internet, Paging and Ultimately Sprint PCS", PR Newswire, January 5, 1999, Financial News Section.

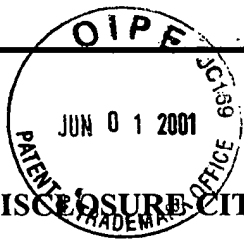
KKK

"FYI; Calls are free, after the ads", Star Tribune, (Minneapolis, MN), Source: Boston Globe, January 14, 1999 at Pg. 1D.

EXAMINER

DATE CONSIDERED:

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



INFORMATION DISCLOSURE CITATION

Docket Number

00-030

Serial Number

Not Yet Assigned

Applicants

WALKER et al.

Filing Date

May 15, 2001

Group Art Unit

Not Yet Assigned

LLL

"Sainsbury Plans Major Deployment of Kiosk Technology; First major rollout for a retailer in the U.K., with Waterstone's to follow", February 1999, RetailTech, The Technology Magazine For Retail Executives, (<http://www.retailtech.com/rt-archive/feb99/feb99-sainsbury.html>).

MMM

"Smart Cards: Buying Via Cable Lines", Future Banker, March 1, 1999, Section: Future Money at Pg. 19.

NNN

Wijnen, Renee, "Listening to Ads Earns Free Long Distance; Advertisers select target groups to hear messages", DM News, March 1, 1999, Section: Supplement; Teleservices News at Pg. 1.

OOO

"Smart Card Quarterly", EFT Report, March 24, 1999, Vol. 22, No. 6.

PPP

"Wells Fargo ATMs in California become little billboards", American Marketing Association, Marketing News TM, March 29, 1999 at Pg. 4.

QQQ

Ellin, Abby, "Listening To an Earful For Savings; Hear the Pitches And Talk for Free", The New York Times, January 24, Personal Business Section.

RRR

"Checkstands Boost Supermarket Profits", undated.

EXAMINER

DATE CONSIDERED:

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.